JC02 Rec'd PCT/PTO 28 DEC 2000

FORM PTO-1390 (REV. 5-93)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 10191/1629
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/720761

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE(S) CLAIMED
PCT/DE00/00821	(16.03.00) 16 March 2000	(29.04.99) 29 April 1999

TITLE OF INVENTION
METHOD OF PLASMA ETCHING OF SILICON

APPLICANT(S) FOR DO/EO/US

LAERMER, Franz; SCHILP, Andrea; ELSNER, Bernhard

Applicant(s) herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) immediately rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
   a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☒ has been transmitted by the International Bureau.
   c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
   a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ have been transmitted by the International Bureau.
   c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
   d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (unsigned).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1 98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
    ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: International Search Report and Form PCT/RO/101.

Express Mail No. EL302702614

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U.S. APPLICATION NO. if known, see 37 C.F.R.1.5	INTERNATIONAL APPLICATION NO	ATTORNEY'S DOCKET NUMBER
09/720761	PCT/DE00/00821	10191/1629

17. ☒ The following fees are submitted:

	CALCULATIONS	PTO USE ONLY
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO $860.00		
International preliminary examination fee paid to USPTO (37 CFR 1.482) $690.00		
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) $710.00		
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO $1,000.00		
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) $100.00		
ENTER APPROPRIATE BASIC FEE AMOUNT =	$ 860	
Surcharge of $130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	$	

Claims	Number Filed	Number Extra	Rate		
Total Claims	18 - 20 =	0	X $18.00	$ 0	
Independent Claims	4 - 3 =	1	X $80.00	$ 80	
Multiple dependent claim(s) (if applicable)			+ $270.00	$ 0	
TOTAL OF ABOVE CALCULATIONS =				$ 940	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				$	
SUBTOTAL =				$ 940	
Processing fee of $130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				$	
TOTAL NATIONAL FEE =				$ 940	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). $40.00 per property +				$	
TOTAL FEES ENCLOSED =				$ 940	
				Amount to be: refunded	$
				charged	$

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02 FC:964 80.00 CH

a. ☐ A check in the amount of $_____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 11-0600 in the amount of $940.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0600. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Kenyon & Kenyon
One Broadway
New York, New York 10004

By: Lisa Nagata (Reg. No. 41,172)
Richard L. Mayer
SIGNATURE

Richard L. Mayer, Reg. No. 22,490
NAME

12/28/00
DATE

330396

EXPRESS MAIL CERTIFICATE

"EXPRESS MAIL" MAILING LABEL NUMBER EL302702614 US

DATE OF DEPOSIT December 28, 2000

TYPE OF DOCUMENT National Phase Application

SERIAL NO. Awaited FILING DATE Herewith

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

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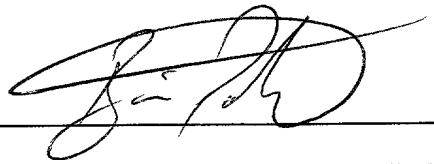

(SIGNATURE OF PERSON MAILING PAPER OR FEE)

Title: Method of Plasma Etching of Silicon.

[10191/1629]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	:	Franz LAERMER et al.
Serial No.	:	To Be Assigned
Filed	:	Herewith
For	:	METHOD OF PLASMA ETCHING OF SILICON
Art Unit	:	To Be Assigned
Examiner	:	To Be Assigned

Assistant Commissioner
for Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

SIR:

Please amend the above-identified application before examination, as set forth below.

IN THE SPECIFICATION:

Page 1, before line 1, insert:

--FIELD OF THE INVENTION--.

Page 1, delete lines 3 to 6, and insert --silicon.--.

Page 1, before line 8, insert:

--BACKGROUND INFORMATION--.

Page 1, delete line 8, and insert --In German Published Patent Application No. 197 06 682 is discussed a method of--.

Page 1, line 17, change "proposed" to --discussed--.

EL302702614

Page 1, line 18, change "42 41 045 C2" to --No. 42 41 045--.

Page 1, delete line 28, and insert --In German Published Patent Application No. 43 17 623, it--.

Page 2, line 1, change "known" to --discussed--.

Page 2, before line 10, insert:
--SUMMARY OF THE INVENTION--.

Page 2, delete line 10, and insert --An object of an exemplary embodiment of the present invention is to improve--.

Page 2, delete line 16.

Page 2, delete lines 18 and 19, and insert --The exemplary method according to the present invention is believed to have the--.

Page 4, line 2, change "on" to --on other available--.

Page 4, lines 2 and 3, delete "known from the related art".

Page 6, delete line 15, and insert --mechanism of German Patent No. 42 41 045 is improved--.

Page 6, delete lines 20 and 21.

Page 6, line 23, change "is" to --is believed to be--.

Page 6, line 23, change "methods" to --exemplary methods--.

Page 7, line 3, delete "It".

Page 7, delete line 4, and insert --According, relatively heavy ions are only--.

Page 7, line 25, change "preferably" to --may--.

Page 8, delete line 1.

Page 8, before line 3, insert:
--DETAILED DESCRIPTION--.

Page 8, line 3, change "The first" to --An exemplary--.

Page 8, delete lines 6 and 7, and insert --source, or a PIE plasma source as discussed in German Published Patent Application No. 197 06 682.--.

Page 8, line 10, change "used" to --discussed--.

Page 8, line 13, change "a first" to --the exemplary--.

Page 8, lines 15 and 16, change "is preferably" to --may be--.

Page 8, line 18, change "is preferably" to --may be--.

Page 8, line 20, change "a known" to --an available--.

Page 8, line 23, change "known from" to --discussed in--.

Page 8, line 24, change "Patent 197 06 682 C2" to --Published Patent Application No. 197 06 682--.

Page 8, line 30, change "NF_3" to --The NF_3--.

Page 8, line 31, delete "preferably".

Page 9, delete line 12, and insert --unchanged with respect to that discussed in German Published Patent Application No.--.

Page 9, line 13, delete "C2".

Page 9, line 15, change "is' to --may be--.

Page 9, delete line 21, and insert --parameters discussed in German Published Patent Application No. 197 06 682, which--.

Page 9, line 24, delete "preferred".

Page 9, delete line 25, and insert --method discussed in German Published Patent Application No. 197 06 682 is given by--.

Page 10, line 5, change "preferably" to --which may be--.

Page 10, line 11, change "known from" to --discussed in--.

Page 10, line 12, change "42 41 045 C1" to --No. 42 41 045--.

Page 11, delete line 3, and insert --This method is improved according to the exemplary method of--.

Page 11, line 15, change ", the" to --, the addition of the--.

Page 11, line 24, change "is preferably" to --may be--.

Page 11, line 27, change "is normally" to --may be--.

Page 12, line 5, delete "preferred".

Page 12, line 8, change "42 41 045 C1" to --42 41 045--.

Page 12, line 22, change "embodiments" to --exemplary embodiments--.

Page 12, line 23, "42 41 045 C2" to --42 41 045--.

Page 12, line 28, change "preferentially strips" to --may strip--.

Page 13, line 17, delete "preferred".

Page 14, line 18, change "known from" to --in--.

Page 14, line 19, "42 41 045 C1" to --No. 42 41 045--.

Page 14, line 23, "42 41 045 C1" to --No. 42 41 045--.

Page 15, delete line 19, and insert --recipe, on the basis of a method discussed in--.

Page 15, line 20, "42 41 045 C1" to --No. 42 41 045--.

Page 15, line 22, change "a device" to --an available device--.

Page 15, line 23, delete "known per se".

Page 16, line 10, delete "preferentially".

Page 16, line 33, delete "preferred".

Page 17, line 4, delete "preferably".

Page 17, line 10, delete "is known per se".

Page 17, line 11, change "and is normally" to --may be--.

IN THE ABSTRACT:

Delete lines 1 to 17, and insert:

-- ABSTRACT OF THE DISCLOSURE

A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, includes having at least one passivating material precipitated on the side walls of the laterally defined structures at least from time to time prior to and/or during etching. In an exemplary method, at least one of the compounds selected from the group ClF_3, BrF_3, or IF_5 is added to the process gas as a fluorine-delivering etching gas. In another exemplary method, NF_3 is added to the process gas, at least from time to time, as an additive consuming the passivating material. Finally, in another exemplary method, a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas. The three exemplary methods may be combined.--.

IN THE CLAIMS:

On the first page of the claims, first line, change "Patent Claims" to:

--WHAT IS CLAIMED IS:--.

Please cancel original claims 1 to 18, without prejudice, and please add new claims 19 to 36 as follows:

-- 19. (New) A method of anisotropic plasma etching a laterally defined structure in a silicon substrate using a process gas, the method comprising the steps of:

precipitating at least one passivating material at least on a side wall of the laterally defined structure at least from time to time at least one of prior to the anisotropic plasma etching and during the anisotropic plasma etching; and

adding a fluorine-delivering etching gas at least from time to time to the process gas, the fluorine-delivering etching gas including at least a compound selected from the group of ClF_3, BrF_3 and IF_5.

20. (New) The method of claim 19, further comprising the step of adding at least one gas selected from the group of SiF_4, C_4F_5, C_3F_6, C_4F_{10}, C_3F_8 and C_2F_6 to the process gas at least from time to time as a gas forming the at least one passivating material.

21. (New) The method of claim 19, further comprising the step of adding at least one gas selected from the group of O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2 and N_2 to the process gas at least from time to time.

22. (New) The method of claim 19, further comprising the step of adding at least one of an additive, a fluoroalcane and NF_3 for consuming the at least one passivating material to the process gas at least from time to time, the at least one passivating material including one of SiO_2 and a teflon-type material, and the at least one additive including at least one of CHF_3, CF_4, C_2F_6, C_3F_6, C_4F_8, C_4F_{10} and C_3F_8.

23. (New) The method of claim 19, further comprising the step of adding at least one of a light and easily ionizable gas, H_2, He and Ne to the process gas at least from time to time.

24. (New) A method of anisotropic plasma etching a laterally defined structure in a silicon substrate using a process gas, the method comprising the steps of:

precipitating at least one passivating material at least on a side wall of the laterally defined structure at least from time to time at least one of prior to the anisotropic plasma etching and during the anisotropic plasma etching; and

adding NF_3 to the process gas at least from time to time as an additive for consuming at least one of the at least one passivating material, SiO_2 and a teflon-type material.

25. (New) The method of claim 24, further comprising the step of adding a fluorine-delivering etching gas to the process gas at least from time to time, the fluorine-delivering etching gas including at least one compound selected from the group of SF_6, ClF_3, BrF_3 and IF_5.

26. (New) The method of claim 24, further comprising the step of adding at least one gas selected from the group of SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8 and C_2F_6 to the process gas at least from time to time as a gas forming the at least one passivating material.

27. (New) The method of claim 24, further comprising the step of adding at least one gas selected from the group of O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2 and N_2 to the process gas at least from time to time.

28. (New) The method of claim 24, further comprising the step of adding at least one of a light and easily ionizable gas, H_2, He and Ne to the process gas at least from time to time.

29. (New) A method of anisotropic plasma etching a laterally defined structure in a silicon substrate using a process gas, the method comprising the steps of:

precipitating a passivating material on at least one side wall of the laterally defined structure at least from time to time at least one of prior to the anisotropic plasma etching and during the anisotropic plasma etching; and

adding at least one of a light and easily ionizable gas, H_2, He and Ne to the process gas at least from time to time.

30. (New) The method of claim 29, further comprising the step of adding at least one fluorine-delivering etching gas to the process gas at least from time to time, the fluorine-delivering etching gas including at least one of a compound selected from the group of SF_6, ClF_3, BrF_3 and IF_5.

31. (New) The method of claim 29, further comprising the step of adding at least one gas selected from the group SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8 and C_2F_6 to the process gas at least from time to time as a gas forming the at least one passivating material.

32. (New) The method of claim 29, further comprising the step of adding at least one gas selected from the group of O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2 and N_2 to the process gas at least from time to time.

33. (New) The method of claim 29, further comprising the step of adding at least one of an additive, a fluoroalcane and NF_3 to the process gas at least from time to time for consuming at least one of the at least one passivating material, SiO_2 and a teflon-type material, the additive including one of CHF_3, CF_4, C_2F_6, C_3F_6, C_4F_8, C_4F_{10} and C_3F_8.

34. (New) A method of anisotropic plasma etching a laterally defined structure in a silicon substrate using a process gas, the method comprising the steps of:

precipitating at least one passivating material on at least a side wall of the laterally defined structure at least from time to time at least one of prior to the anisotropic plasma etching and during the anisotropic plasma etching;

adding at least one fluorine-delivering etching gas to the process gas at least from time to time, the at least one fluorine-delivering etching gas including at least one compound selected from the group of ClF_3, BrF_3 and IF_5;

adding NF_3 to the process gas at least from time to time as an additive for consuming the at least one passivating material; and

adding at least one of a light and easily ionizable gas, H_2, He, and Ne to the process gas at least from time to time.

35. (New) The method of claim 34, further comprising the step of adding at least one gas selected from the group of SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8 and C_2F_6 to the process gas at least from time to time as the gas forming the at least one passivating material.

36. (New) The method of claim 34, further comprising the step of adding at least one gas selected from the group of O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2 and N_2 to the process gas at least from time to time.--.

Remarks

This Preliminary Amendment cancels, without prejudice, original claims 1 to 18 in the underlying PCT Application No. PCT/DE00/00821, and adds new claims 19 to 36. The new claims conform the claims to U.S. Patent and Trademark Office rules and do not add new matter to the application.

The above amendments to the specification and abstract are to conform the specification and abstract to U.S. Patent and Trademark Office rules or to correct informalities, and do not introduce new matter into the application.

The underlying PCT Application No. PCT/DE00/00821 includes an International Search Report, dated September 26, 2000. The Search Report includes a list of documents that were uncovered in the underlying PCT Application. A copy of the Search Report accompanies this Preliminary Amendment.

Applicants assert that the subject matter of the present application is new, non-obvious, and useful. Prompt consideration and allowance of the application are respectfully requested.

Respectfully Submitted,

KENYON & KENYON

By: Do Magot (Reg. No. 41,172)

Dated: 12/28/00

By: Richard L. Mayer

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330198

METHOD OF PLASMA ETCHING OF SILICON

The present invention relates to a method of plasma etching, in particular of anisotropic plasma etching, of silicon according to the definition of the species of the independent claims.

Background Information

German Patent 197 06 682 C2 describes a method of anisotropic high-rate plasma etching of silicon with SiO_2, formed from the addition of SiF_4 and O_2 to the actual SF_6 etching agent, being used as a side wall passivating material. At the same time, CHF_3, CF_4, C_2F_6, or C_4F_8 are added to the etching gas continuously or at determined intervals as SiO_2-consuming additives ("scavengers") in order to selectively strip the SiO_2 on the structure base.

Another high-rate etching method for silicon is proposed, for example, in German Patent 42 41 045 C2, where a high-density plasma source using inductive high-frequency excitation (ICP source) or a special microwave excitation (PIE source) is used for releasing fluorine radicals from a fluorine-delivering etching gas and for releasing $(CF_2)_x$ radicals from a passivating gas that delivers teflon-forming monomers, to form a teflon-type passivating material, with etching gas and passivating gas being used alternately.

Finally, from German Patent Application 43 17 623 A1 it

is known that a mixture of SF_6 or another fluorine-delivering etching gas and CHF_3 or another passivating gas forming teflon-type monomers can be exposed to a high-density plasma, so that the fluorine radicals etch the silicon structure base and at the same time the teflon-type monomers form a passivating material on the structure side walls thus ensuring an anisotropic character of the etching process.

The object of the present invention is to improve existing plasma etching methods for silicon so that higher etching rates, lower profile deviations in etching, and better environmental compatibility of the process gas are ensured by using novel process gases.

Advantages of the Invention

The method according to the present invention having the characterizing features of the independent claims has the advantage over the related art that it allows improved profile control and higher etching rates in the plasma etching process of silicon, in particular, in an anisotropic high-rate plasma etching process. At the same time, the process gases used are considerably more environmentally compatible than the process gases or additives used previously with respect to the greenhouse effect, and are therefore also available long-term.

Furthermore, when using fluorine-delivering etching gases ClF_3, BrF_3 or IF_5, large amounts of fluorine are released even at a relatively low plasma excitation, so that they are very efficient with regard to the excitation and the high silicon etching rates achieved, while not requiring

that the plasma source such as an inductive plasma source or a microwave plasma source deliver a high power. Furthermore, it is advantageous that, in particular, ClF_3 when it decomposes to form ClF or BrF_3 when it decomposes to form BrF releases lighter and a larger number of fluorine radicals than the known SF_6 via its preferential decomposition reaction resulting in SF_4. In addition, the reaction on decomposition of ClF_3 to ClF and 2F* and of BrF_3 to BrF and 2F* requires a much lower activation energy than the reaction of SF_6 to SF_4 and 2F*. Thus, advantageously also fewer interference effects, capable of negatively affecting the etching profiles obtained, occur in the plasma source due to the lower high-frequency or microwave power required for producing the large amounts of fluorine radicals needed.

Further advantages result from the fact that when using interhalogen fluorides as fluorine-delivering etching gases, no sulfur precipitation can occur in the waste gas zone of the etching system, which would otherwise have to be eliminated or suppressed.

Finally, in particular ClF_3 and BrF_3 are chemically unstable and in air they easily hydrolyze forming HF plus HCl or HBr, respectively, with atmospheric moisture. Therefore, no greenhouse effect occurs with these compounds or gases, so that their industrial availability is guaranteed even long-term from the environmental point of view, which is not unconditionally true for SF_6, for example.

NF_3, an additive used from time to time in the process gas to consume the passivating material, in particular SiO_2 or

a teflon-type material, has the advantage over additives based on fluorocarbon compounds known from the related art that considerably stronger stripping of the dielectric layers masking the structure base is achieved, so that it has to be used in considerably smaller amounts in the respective plasma etching process compared to the known additives, with the result that the overall process is less subject to negative effects, in particular dilution of the other active reagents, which otherwise necessarily occurs.

Furthermore, the NF_3 additive has a relatively short life in air compared to fluorocarbons (CHF_3, CF_4, C_3F_6, C_4F_8, C_2F_6, etc.) due to its weaker hydrolysis effect, which also prevents the greenhouse effect from occurring. NF_3 reacts with atmospheric moisture even after a short time. In contrast to fluorocarbons which act as greenhouse gases, long-term industrial availability is also ensured in this case.

Addition of a light and easily ionizable gas, i.e., of a gas with a low atomic mass such as He, H_2, or Ne, from which slightly positively charged ions are obtained, to the etching gas has the advantage that charging effects, which manifest themselves as interference, in particular at the junctions between electrically conductive silicon and electrically insulating dielectric materials used, for example, as masking materials or buried sacrificial layers, are considerably reduced. Thus considerable improvement in the etching profiles are obtained is achieved, in particular at the junction of silicon with a buried oxide layer, a polymer stop layer, or at the mask edge, i.e., junction of the dielectric masking layer

(photoresist or hard material mask made of SiO_2) with the silicon to be etched.

This charging effect is based on the fact that negatively charged electrons, which act upon the wafer surface anisotropically, go preferentially to the side walls of the structure to be etched, so that the side walls become negatively charged with respect to the etching base. These electrons move relatively freely within the electrically conductive silicon, while the positively charged ions on the electrically insulating etching base are stationary. Thus, the movable electrons tend to move into the junction region between silicon and the dielectric material, generating a strong electric field there. In the steady-state case these fields on average result in exactly as many ions going to the side walls as there were electrons previously, since they are deflected by the electric fields of a similar strength toward the side wall. This effect is described in the literature as the "notching phenomenon" and results in the formation of large pockets etched into the side wall.

The addition of a light, easily ionizable gas such as He advantageously reduces this formation of pockets considerably.

Another problem caused by electrical charging effects, which is also eliminated by the addition of a light, easily ionizable gas, occurs at the upper mask edge. The surface of a dielectric masking layer on the silicon wafer is negatively charged ("DC bias") by the "self-biasing" effect, often as a result of a high-frequency voltage applied to a conventional substrate electrode.

This charge is caused by the different mobilities of electrons and ions, i.e., in order to draw as many immobile ions as highly mobile electrons to the surface on average over time, a negative electrical bias must be built up there. If silicon is now etched in the openings of a masking layer, this accumulation of surface charges with respect to the newly produced silicon side wall results in concentration of electrons at the silicon to dielectric masking layer junction. Therefore ions are increasingly deflected into this upper part of the etched silicon trench, which also results in the formation of profile irregularities or pockets there. Finally, the addition of a light, easily ionizable gas to the etching gas has the advantage that the side wall film transport mechanism known from German Patent 42 41 045 is improved in that more polymer is stripped from the etching base and less from the side walls, i.e., selectivity is improved.

Advantageous refinements of the present invention are derived from the measures named in the subclaims.

Thus, it is particularly advantageous that the methods according to the present invention can be combined, with the advantages of the individual methods being preserved. In general, it may be advantageous to also add argon to dilute the etching gas, to the gas forming the passivating material, in particular SiF_4, to the additive, or to one of the gases used as a reactant such as oxygen, nitrogen, carbon dioxide, or a nitrogen oxide.

In the mechanisms described above, overall the intensity of the electrical fields required to establish the

dynamic equilibrium between the incidence of ions and electrons directly depends on the ease with which the arriving ions can be deflected by electrical fields. It is therefore obvious that relatively heavy ions are only deflected by relatively high-intensity fields, while relatively light ions can be deflected even by relatively low-intensity fields, balancing the charges. By introducing a type of ion with a low atomic mass, it can be achieved to great advantage that only low field intensities are built up in the above-described regions and a sufficient number of these light ions is deflected even with these low field intensities so that they can balance the charges.

The heavy ions occurring in the etching process, for example, as ionized molecules or molecule fragments of the etching gas or additives are no longer deflected by these electrical fields due to their mass and associated inertia, but go directly to the etching base, where they can advantageously promote an etching reaction or etching base polymer stripping, for example. Therefore, the addition of the light, easily ionizable gas results in separation, which is overall very advantageous, between light ions, which balance the charges, and heavy ions, which preferably affect the etching base.

In addition to the inert gas helium as a light gas, the use of hydrogen (H_2) is also advantageous in some plasma etching processes, as long as it is compatible with the process chemistry. The hydrogen molecule in its ionized form has an atomic mass of only 2, and also in plasma it dissociates in a particularly easy manner into positively charged atoms having an atomic mass of 1.

Exemplary Embodiments

The first embodiment is initially based on an anisotropic plasma etching process using a high-density plasma source, for example, an ICP plasma source, an ECR plasma source, or a PIE plasma source as known from German Patent 197 06 682 C2.

Instead of the fluorine-delivering etching gas SF_6 or NF_3 used in that patent, however, gaseous chlorine trifluoride ClF_3, bromine trifluoride BrF_3, or iodine pentafluoride IF_5, or a mixture of these gases is added to the process gas as the etching gas in a first embodiment. Chlorine trifluoride or bromine trifluoride, which can be supplied directly via a mass flow controller, is preferably used, since they have a sufficiently high vapor pressure. When using liquid bromine trifluoride, its temperature is preferably held above 20°C in order to convert it into gaseous form. An inert carrier gas, for example, argon, can also be added in a known manner. Helium can also be used instead of argon.

Furthermore, the SiO_2-consuming additives known from German Patent 197 06 682 C2 (CHF_3, CF_4, C_2F_6, etc.) are replaced by nitrogen trifluoride NF_3, which is added to the process gas continuously or at determined intervals. This additive is used in particular for faster removal of the passivating material from the etching base.

NF_3 decomposes under moderate plasma excitation, i.e., typical ICP excitation conditions, preferably into radical fragments NF_x (where x = 1, 2), which react in an extremely aggressive manner with dielectric materials and

thus act as very effective stripping reagents with respect to SiO_2, SiN, SiO_xN_y (silicon oxynitride) or teflon-type materials.

The amounts of fluorine released at the same time by the dissociation of NF_3 are almost negligible in comparison with the amounts of fluorine from the fluorine-delivering etching gases, for example, ClF_3 or BrF_3, and also contribute to the silicon etching reaction.

Passivation of the structure side walls in the process is unchanged with respect to the teaching of German Patent 197 06 682 C2 due to the addition, at least from time to time, of SiF_4 and a reagent selected from the group O_2, N_2O, NO, NO_x, CO_2, NO_2, or N_2 to the process gas. Oxygen is preferred.

Regarding the other process parameters (in particular gas flow rates, process pressures, ion energy, and injected plasma power), reference is made to the respective parameters known from German Patent 197 06 682 C2, which can be largely used here.

One preferred composition of the process gas based on the method known from German Patent 197 06 682 C2 is given by the following recipe, for example:

60 sccm ClF_3 + 50 sccm O_2 + 50 sccm SiF_4 + 70 sccm He + 5 sccm NF_3 with constant addition, 20 mTorr pressure, 1000 W high-frequency power at a frequency of 13.56 MHz at the plasma source, 5 W to 20 W high-frequency power at the substrate electrode

or:

100 sccm BrF_3 + 50 sccm O_2 + 50 sccm SiF_4 + 70 sccm He, plus addition of 30 sccm NF_3 periodically every 30 to 60 seconds, preferably every 45 seconds over a period of 5 seconds each time, 20 mTorr pressure, 1000 W high-frequency power at the plasma source, 5 W to 30 W high-frequency power at the substrate electrode.

Another exemplary embodiment of the present invention is initially based on a method known from German Patent 42 41 045 C1. In this known method, anisotropic etching of silicon is performed using a microwave plasma or a plasma generated by an inductive plasma source in particular, anisotropic etching being carried out in separate alternating and successive etching and polymerization/passivation steps, which are controlled separately from one another. During the polymerization steps, a polymer is applied to a lateral structure boundary defined by an etching mask, and this polymer is stripped away again in the subsequent etching steps.

For this purpose, SF_6 is added to the process gas, at least from time to time, in particular during the etching steps, as the fluorine-delivering etching gas. During the polymerization steps octafluorocyclobutane C_4F_8 or hexafluoropropane C_3F_6 is also added to the process gas, in particular in the case of an inductively coupled plasma source, as a passivating gas delivering teflon-forming monomers. This passivating gas forms a teflon-type protective film as a passivating material, in particular on the side walls of the etched structures, protecting them from the etching attack by fluorine

radicals.

This essentially known method is improved according to the present invention by the fact that helium in the form of He^4 or He^3 is also added to the process gas at least from time to time, this addition taking place continuously both during the etching steps and during the passivation steps, since helium as an inert gas in no way affects the process chemistry. The addition of helium guarantees in both steps that undesirable charges are reduced and harmful ion incidence onto the side walls of the etched structures, as explained above, is permanently suppressed or reduced.

As an alternative, the helium gas can, however, also take place only during the etching steps or only during the polymerization/passivation steps, i.e., the helium flow is added at determined intervals like the etching and passivating gas, helium gas advantageously being used specifically during the etching steps, since, especially in the case of post-etching, buildup of stronger stray fields in the trenches formed must be effectively suppressed even as they are generated. Helium is preferably added in both process steps continuously at a constant gas flow rate.

A suitable helium gas flow rate is normally between 10 and 100 sccm; however, lower or, in particular, higher flow rates are also possible, depending on the suction capacity of the attached turbomolecular vacuum pump of the etching system.

In order to support the stripping of the passivating

material from the etching base, NF_3 can be used, at least from time to time, in this case too, as a substance to consume the passivating material.

A preferred composition of the process gas in the case of plasma generation via an inductively coupled plasma source (ICP source) is given by the following recipe, for example, based on German Patent 42 41 045 C1:

Passivation step:
100 sccm C_3F_6 or C_4F_8 + 50 sccm He over 5 seconds at 12 mTorr pressure, 800 W high-frequency power at the plasma source, no high-frequency power at the substrate electrode.

Etching step:
130 sccm SF_6 + 20 sccm O_2 + 50 sccm He over 9 seconds at 20 mTorr pressure, 800 W high-frequency power at the plasma source, 5 W to 20 W high-frequency power at the substrate electrode.

Further embodiments of the process gas composition, based on the method according to German Patent 42 41 045 C2, are given by the following recipes, in which the fluorine-delivering etching gas SF_6 is replaced by ClF_3 or BrF_3 in the etching steps. Furthermore, NF_3 is added, at least from time to time, to the process gas in the etching steps as an additive that preferentially strips the passivating teflon material in particular from the etching base. The process parameters in the passivation steps remain unchanged with respect to the previous example.

Etching step:

200 sccm ClF_3 + 10 sccm NF_3 + 50 sccm He over 10 seconds at 20 mTorr pressure, 1000 W high-frequency power at the plasma source, 5 W to 20 W high-frequency power at the substrate electrode

or:

Etching step:

200 sccm ClF_3 + 50 sccm He over 10 seconds at 20 mTorr pressure, plus 30 sccm NF_3 during the first 3 seconds of the etching steps, 1000 W high-frequency power at the plasma source, 5 W to 20 W high-frequency power at the substrate electrode.

Other recipes use O_2 as an alternative to NF_3 as the preferred additive for stripping the teflon-type passivating material in particular from the etching base. Oxygen is considerably less aggressive than the NF_3 fragments obtained in the plasma; therefore, a considerably higher amount of oxygen must be added, at least from time to time, to the etching gas.

The considerably lower proportion of oxygen added in a previous recipe to SF_6 used as an etching gas was used there only for suppressing precipitation of sulfur in the gas waste gas zone. However, such precipitation does not occur when using ClF_3 as the etching gas, so that the amount of oxygen added to ClF_3, at least temporarily, is available in its entirety for stripping the passivating material, in particular of the etching base. Thus, in the further passivation steps, which are unchanged regarding composition and process parameters, the following

advantageous recipe is obtained for the etching steps:

Etching step:
250 sccm ClF_3 + 50 sccm He over 10 seconds plus 100 sccm O_2 during the first 4 seconds, 30 mTorr pressure, 1200 W high-frequency power at the plasma source, 5 W to 30 W high-frequency power at the substrate electrode.

or:

Etching step:
200 sccm ClF_3 + 50 sccm He + 50 sccm O_2 over 10 seconds, 30 mTorr pressure, 1000 W high-frequency power at the plasma source, 5 W to 30 W high-frequency power at the substrate electrode.

Regarding the other process parameters, reference is made to the respective parameters known from German Patent 42 41 045 C1, which can otherwise be largely retained.

If hydrogen is to be added to the process gas as the light, easily ionizable gas, this addition can be performed on the basis of German Patent 42 41 045 C1 only during the passivation steps. Hydrogen added to the etching gas would react with the released fluorine radicals to form HF, thus neutralizing the latter, i.e., these fluorine radicals would subsequently no longer be available for an etching reaction with silicon. Furthermore, due to the oxygen contained in the etching step, there is a danger of explosion due to the formation of oxyhydrogen gas in the waste gas zone of the etching system. Finally, the hydrogen added must also be taken into account in the passivation chemistry of the

passivation step. Since octafluorocyclobutane C_4F_8 or hexafluoropropene C_3F_6 added from time to time, in particular during the passivation steps, to the process gas as a passivating gas becomes poorer in fluorine by the addition of hydrogen, it is advantageous in this case to replace it with a passivating gas that is richer in fluorine. Perfluoroalcanes such as C_2F_6, C_3F_8 or, preferably, C_4F_{10} for example, are eminently suitable for this purpose.

Thus not only is excess fluorine bound in the passivation steps via the addition of hydrogen, forming HF, while the desired polymerization effect is achieved, but also sufficient hydrogen is always available for an ionization reaction in order to reduce charging phenomena.

In the case of hydrogen addition to the process gas, suitable process parameters are given by the following recipe, on the basis of a method of the type described in German Patent 42 41 045 C1; it must be ensured, by appropriate measures in the waste gas zone, that no danger of explosion arises. For this purpose, a device known per se for catalytic hydrogen conversion is provided between a turbomolecular pump used in the waste gas zone and a vane-type rotary pump, for example.

Passivation step:
100 sccm C_4F_{10} + 70 sccm H_2 over 5 seconds at 12 mTorr pressure, 800 W high-frequency power at the plasma source, no high-frequency power at the substrate electrode.

Etching step:

130 sccm SF_6 + 20 sccm O_2 over 9 seconds at 20 mTorr pressure, 800 W high-frequency power at the plasma source, 5 W to 20 W high-frequency power at the substrate electrode.

Another recipe provides, in contrast to the previous unchanged passivation steps, replacement of SF_6 as fluorine-delivering etching gas with BrF_3, to which NF_3 is added, at least from time to time, as an additive for preferentially stripping the passivating teflon material in particular from the etching base.

Etching step:
150 sccm BrF_3 + 50 sccm Ar or helium (as inert carrier gas) + 10 sccm NF_3 over 10 seconds, 25 mTorr pressure, 1500 W high-frequency power at the plasma source, 5 W to 30 W high-frequency power at the substrate electrode.

By adding helium or hydrogen in order to suppress profile deviations, higher silicon etching rates can also be easily achieved in that the performance parameters of the plasma etching process used, in particular the plasma source power, are scaled up from 800 W to 3000 W, for example.

Finally, selectivity between side wall polymer film stripping and etching base polymer stripping during the etching steps is also improved by the process gas addition according to the present invention, in particular by addition of He or H_2, in that etching base polymer stripping is accelerated and side wall polymer film stripping is reduced. This is one result of the preferred deflection of the lighter ions toward the side

wall, while heavy ions reach the etching base unimpeded.

The addition of light and easily ionizable gases such as H_2, Ne or preferably He is more effective the lower the frequency of the substrate electrode voltage at the substrate electrode, since the lighter ions can follow the variation of the electrical field more easily due to their lower inertia. Applying a high-frequency substrate electrode voltage to the substrate to be etched via a substrate voltage generator (bias power) is known per se and is normally used for accelerating the ions obtained in the plasma onto the substrate.

In the above exemplary embodiment, the frequency of the high-frequency substrate voltage used is reduced for this purpose, for example, from the usual 13.56 MHz to less than 2 MHz. Thus the difference in mass between the lighter gas component and the other components of the etching gas is used to greater advantage.

Patent Claims

1. A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, at least one passivating material being precipitated at least on the side walls of the laterally defined structures at least from time to time prior to and/or during etching, characterized in that a fluorine-delivering etching gas, containing at least one of the compounds selected from the group ClF_3, BrF_3, or IF_5, is added, at least from time to time, to the process gas.

2. The method according to Claim 1, characterized in that at least one gas selected from the group SiF_4, C_4F_5, C_3F_6, C_4F_{10}, C_3F_8, or C_2F_6, is also added to the process gas, at least from time to time, as the gas forming the passivating material.

3. The method according to Claim 1, characterized in that at least one gas selected from the group O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2, or N_2 is added, at least from time to time, to the process gas.

4. The method according to Claim 1, characterized in that at least one additive, in particular, CHF_3, CF_4, C_2F_6, C_3F_6, C_4F_8, C_4F_{10}, C_3F_8, a fluoroalcane, or NF_3, consuming the passivating material, in particular, SiO_2 or a teflon-type material, is added, at least from time to time, to the process gas.

5. The method according to Claim 1, characterized in

that a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas.

6. A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, at least one passivating material being precipitated at least on the side walls of the laterally defined structures at least from time to time prior to and/or during etching, characterized in that NF_3 is added to the process gas, at least from time to time, as an additive NF_3 consuming the passivating material, in particular, SiO_2 or a teflon-type material.

7. The method according to Claim 6, characterized in that a fluorine-delivering etching gas, containing at least one of the compounds selected from the group SF_6, ClF_3, BrF_3, or IF_5, is added, at least from time to time, to the process gas .

8. The method according to Claim 6, characterized in that at least one gas selected from the group SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8, or C_2F_6 is added to the process gas, at least from time to time, as the gas forming the passivating material.

9. The method according to Claim 6, characterized in that at least one gas selected from the group O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2, or N_2 is added, at least from time to time, to the process gas.

10. The method according to Claim 6, characterized in that a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas.

11. A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, at least one passivating material being precipitated on the side walls of the laterally defined structures at least from time to time prior to and/or during etching, characterized in that a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas.

12. The method according to Claim 11, characterized in that at least one fluorine-delivering etching gas, containing at least one of the compounds selected from the group SF_6, ClF_3, BrF_3, or IF_5, is added, at least from time to time, to the process gas.

13. The method according to Claim 11, characterized in that at least one gas selected from the group SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8, or C_2F_6 is added to the process gas, at least from time to time, as the gas forming the passivating material.

14. The method according to Claim 11, characterized in that at least one gas selected from the group O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2, or N_2 is added, at least from time to time, to the process gas.

15. The method according to Claim 11, characterized in that at least one additive, in particular, CHF_3, CF_4, C_2F_6, C_3F_6, C_4F_8, C_4F_{10}, C_3F_8, a fluoroalcane, or NF_3, consuming the passivating material, in particular, SiO_2, or a teflon-type material, is added, at least from time to time, to the process gas.

16. A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, at least one passivating material being precipitated on the side walls of the laterally defined structures at least from time to time prior to and/or during etching, characterized in that at least one fluorine-delivering etching gas, containing at least one of the compounds selected from the group ClF_3, BrF_3, or IF_5, is added, at least from time to time, to the process gas; NF_3 is added to the process gas, at least from time to time, as an additive consuming the passivating material, and a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas.

17. The method according to Claim 16, characterized in that at least one gas selected from the group SiF_4, C_4F_8, C_3F_6, C_4F_{10}, C_3F_8, or C_2F_6 is added to the process gas, at least from time to time, as the gas forming the passivating material.

18. The method according to Claim 16, characterized in that at least one gas selected from the group O_2, N_2O, NO, NO_x, CO_2, Ar, NO_2, or N_2 is added, at least from time to time, to the process gas.

Abstract

A method of plasma etching, in particular of anisotropic plasma etching, of laterally defined structures in a silicon substrate, using a process gas, is described. At least one passivating material is precipitated on the side walls of the laterally defined structures at least from time to time prior to and/or during etching. In a first method, the addition of at least one of the compounds selected from the group ClF_3, BrF_3, or IF_5 to the process gas as a fluorine-delivering etching gas is proposed. In a second method, NF_3 is added to the process gas, at least from time to time, as an additive consuming the passivating material. Finally, in a third method, a light and easily ionizable gas, in particular H_2, He, or Ne, is added, at least from time to time, to the process gas. The three methods can also be combined.

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DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHOD OF PLASMA ETCHING OF SILICON**, the specification of which was filed as PCT International Application No. **PCT/DE00/00821,** filed on March 16, 2000.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EL302703566

PRIOR FOREIGN APPLICATION(S)

Number	Country filed	Day/month/year	Priority Claimed Under 35 USC 119
199 19 469.6	Fed. Rep. of Germany	29 April 1999	Yes

And I hereby appoint Richard L. Mayer (Reg. No. 22,490) and Gerard A. Messina (Reg. No. 35,952) my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful and false statements may jeopardize the validity of the application or any patent issued thereon.

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